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Follow-up to the International Year of the Family

Report of the Secretary-General

Contents

		Paragraphs	Page
I.	Introduction	1–2	2
II.	Summary and recommendations	3–8	2
III.	Summary of activities to follow up the International Year of the Family	9–29	3
	A. National Governments	9–19	3
	B. United Nations system	20–23	4
	C. Research centres	24–26	5
	D. Non-governmental organizations	27–29	6
IV.	Current and future family-related activities of the United Nations Secretariat	30–48	6
	A. Substantive servicing of intergovernmental bodies	34–35	7
	B. Assisting Governments on family-related policies, programmes and initiatives	36	7
	C. International cooperation in the field of family research	37–38	7
	D. Strengthening linkages between the United Nations and civil society	39–41	7
	E. United Nations Trust Fund on Family Activities	42–45	8
	F. Future actions of the United Nations Secretariat	46–48	8

* A/54/150.

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I. Introduction

1. The General Assembly, in its resolution 44/82 of 8 December 1989, proclaimed 1994 as International Year of the Family. The Year objectives are to, *inter alia*, (a) increase awareness of family issues among Governments; (b) strengthen national institutions in formulating, implementing and monitoring policies in respect of families; (c) stimulate efforts to respond to problems affecting, and affected by, the situation of families; and (d) enhance the effectiveness of local, regional and national efforts to carry out specific programmes concerning families. The Assembly called for the widest possible dissemination of the objectives of the Year as well as periodic reporting on activities undertaken to follow up the Year. In its resolution 52/81 of 12 December 1997, the Assembly recognized that the basic objective of the follow-up should be to strengthen and support families in performing their societal and developmental functions and to build upon their strengths, in particular at the national and local levels.

2. The present report is the third biennial report on follow-up activities to the Year, prepared pursuant to General Assembly resolutions 50/142 of 21 December 1995 and Assembly decision 53/424 of 9 December 1998 on the organization of work of the Third Committee and biennial programme of work of the Committee for 1999–2000. This report is based primarily on information made available by Governments, the United Nations system, non-governmental organizations and research institutions.

II. Summary and recommendations

3. Five years after the International Year of the Family, the discourse and debate at the global level continue to express the concern of Governments for actions that support families as the basic units of society. A common understanding exists that all actions and policies affect and impact on families as well as that specific measures are needed to preclude negative consequences in the attempt to support and strengthen families. To this end, many Governments have so geared national development strategies as to take into account the role of families in society or the effect of those strategies on families. They have recognized the need to build family-friendly societies based on the tenets of social integration contained in the Programme of Action of the World Summit for Social Development.[1]

4. Family-related activities undertaken by the United Nations system including the regional commissions during the follow-up period were facilitated by the global conferences of the 1990s. Three main activities can be identified: (a) providing technical assistance to Governments at their request; (b) preparing reports and studies on the situation and needs of families; and (c) organizing meetings, seminars and workshops on family-related topics.

5. Non-governmental organizations at all levels continue to increase public awareness and undertake research on family-related issues. Research activities range from data collection to more action-oriented investigation to assist Governments in policy formulation by providing concrete recommendations for improving the situation of families. Also, many non-governmental organizations have organized family-related meetings, seminars, workshops and conference at all levels.

6. Many research and academic institutions have prepared studies and surveys on the situation and needs of families. Subsumed under the topic of research are: (a) assessment of the role of the family in the socialization process and how this role has been affected by social change; (b) review of the various governmental and non-governmental programmes relating to families; (c) assessment of explicit and/or implicit family policies; (d) review of the resources available to family programmes; and (e) a review of the existing policies and legislation affecting the status and situation of families in society.

7. Notwithstanding the achievements since 1994, there remain a number of problem areas requiring attention at all levels. One such area involves the need to develop common ground and common understanding among constituencies viewing family issues from different perspectives. Another concerns the lack of basic knowledge in many countries on many aspects of the family, with the result that policy often remains based on outdated information or on stereotypes.

8. In view of the above, the following recommendations for action are proposed:

(a) There is a need to improve the knowledge base through research, data collection and collaboration among Governments and research institutions, nationally, regionally and internationally. To this end, the United Nations system, including the regional commissions, should play a supporting role, including providing technical cooperation as appropriate and as requested by Governments;

(b) Priority should be given to the building up of local capacity in developing countries and in countries with economies in transition and to the training of personnel to formulate, implement, monitor and evaluate appropriate policies and programmes related to families;

(c) Attention needs to be given to the most appropriate way of observing the tenth anniversary of International Year of the Family in 2004 in order to strengthen follow-up, especially at the national and local levels. In this connection, the Commission for Social Development might be invited to undertake in 2004 a comprehensive review of the global situation of families based, *inter alia*, on information made available by the Secretary-General in collaboration with other concerned entities of the United Nations system;

(d) In order to meet the requests from Governments for assistance in formulating and implementing family-related policies and programmes, and to strengthen the family component of development projects when requested, the resources of the United Nations Trust Fund on Family Activities need to be increased.

III. Summary of activities to follow up the International Year of the Family

A. National Governments

9. The present section is based on responses to a communication dated 9 April 1999 addressed to Governments by the Secretary-General.[2]

10. Many Governments highlighted the importance of families and expressed their concurrence with the basic philosophy and strategy for the International Year of the Family. Accordingly, they reported on actions undertaken at the national and local levels to give priority, purpose and direction to family policies and programmes.

11. Since 1994, in many countries, responsibility for family issues has been entrusted to national mechanisms.[3] These were either single organizational structures (ministries, departments, committees or councils) or a set of interrelated institutional arrangements. Regardless of structure, by and large, the main functions of the national mechanisms on the family are the following: (a) to sensitize public opinion on family and family-related issues and problems and to provide a leadership role in articulating family concerns; (b) to undertake periodic reviews and assessments of the situation and needs of families, identifying specific issues and problems, and to promote and undertake research on families; (c) to coordinate, monitor and evaluate family policies and programmes; (d) to mobilize resources from both public and private sectors for the implementation of family policies and programmes; and (e) to facilitate communication through the dissemination of information between family non-governmental organizations and the Government.

12. Among the recent measures reported by Governments to underline the priority assigned to improving the financial situation of families are: expanding a cash support system for families with young children (Norway); initiating a national social security savings scheme (Singapore); initiating a Family Support Trust Fund (Cyprus); initiating child relief and tax rebates for the first to fourth child (Singapore); and providing welfare benefits for the elderly (Thailand). Also, in the United Kingdom of Great Britain and Northern Ireland, the Government provided a Family Support Grant of 1 million pounds in 1999. Denmark, in 1996, set aside 175 million kroner to assist families with children experiencing a "crisis situation". In Germany, a new system of child allowances and child tax benefits came into force in 1996.

13. Governments reported taking action to promote partnership between men and women in family life based on an equal sharing of rights and responsibilities within the family (Belarus, Denmark, Estonia, Finland, Germany, Iceland, Malaysia, Mauritius, the Netherlands, Norway, Senegal, Singapore, and Slovakia). For example, the Government of Finland, in cooperation with the European Social Foundation, has launched a research and development project on combining work and family life. In Germany, the Government intends to help women reconcile family and work responsibilities by extending part-time employment and combating youth unemployment.

14. Attention to parenting skills is being given higher priority in Malaysia, Mauritius, Norway, Senegal, Singapore and Switzerland. The United Kingdom established a new National Family and Parenting Institute to provide advice, research and information on parenting skills and support. In 1995, a National Programme for Parental Guidance was introduced in Norway. In Malaysia, parenting is a priority under the Seventh Malaysia Plan 1996–2000.

15. To protect certain groups from social exclusion and poverty, Governments have tried various approaches: (a) designing social protection and support programmes to help families (for example, Austria, Belarus, Burkina Faso, Cameroon, Cyprus, Denmark, Egypt, Estonia, Germany, Ghana, Iceland, Kuwait, Malaysia, Nigeria, Norway, Portugal, Rwanda, South Africa, Thailand and Zambia); (b) promoting family stability and supporting families in their socialization role (for example, Brunei Darussalam, Indonesia, Kuwait and Rwanda); and (c) protecting the rights of the elderly, people with disabilities, the infirm and so

forth (for example, Austria, Cameroon, Cyprus, Denmark, Egypt, Germany, Norway and the United Kingdom).

16. Some Governments have drawn up or revised legal instruments pertaining to the family in accordance with the provisions of international instruments and standards. Others have reviewed and revised national family laws to ensure that they contain a clear statement of rights and responsibilities of families. Such laws relate to the formation and dissolution of families; gender relations within the families; the rights of spouses, mothers, fathers, children and other family members; inheritance and property ownership; domestic violence, and so forth. For example, Austria introduced laws intended to eliminate discrimination against women in employment; new legislation on adoption was introduced in Ireland; in Mauritius, a Protection from Domestic Violence Act was enacted in 1997; and in Denmark, a new law on Child Custody and Visiting Rights came into force in 1997.

17. Significantly, in many countries, a concern for children and women is high in the family policy agenda and is an implicit motive for governmental interventions. There is a growing trend towards allowing the child a voice. Focus is increasingly on protection (the right to parental and professional care), provision (of services and resources) and, lately, participation (the human rights of a child/citizen).

18. Additional countries (these include Brunei Darussalam, Singapore and Thailand) have designated a national family day, week, month or year so as to focus attention on family issues.

19. While many countries were able to report initiative in following up the International Year of the Family, many obstacles hinder progress. In their responses, Governments cited the various obstacles to successful implementation of Year objectives, many peculiar to their own circumstances and experiences. The five basic commonly cited obstacles — the global economic situation; limited financial resources; the lack of trained personnel; insufficient inter-institutional coordination; and the paucity of basic data and comparative research — may be described as follows:

(a) **The global economic situation:** Difficult economic conditions, including high rates of unemployment as well as inadequate social investment, obsolete infrastructures and poor delivery of essential services to the population, are also hampering the development of a coordinated social policy for family and children in many countries;

(b) **Resource mobilization:** Lack of financial resources was identified as the most pressing constraint on the development of family policies and programmes in many countries;

(c) **Lack of trained personnel:** Many Governments face a shortage of specialized personnel who are knowledgeable about family issues and programmes. Also, in many countries, there is a lack of adequate training courses in this regard. Moreover, staff often lack experience in the assessment and review of programme effectiveness;

(d) **Lack of governmental coordination at the national level:** Responsibility for family issues and programmes concerning individual family members (for example, children, women, youth and so forth) is usually shared between numerous ministries and agencies within a given country, giving rise to many coordination challenges and making it difficult to develop and implement comprehensive strategies for families, children and so on;

(e) **Paucity of adequate research:** Despite the major changes that families have been undergoing in respect of changes in their size and composition as well as social structure, national policies and programmes are often based, of necessity, on out-of-date information rather than on up-to-date knowledge. Research, based on accurate statistics, is often in short supply, as are comparable data on families and their well-being.

B. United Nations system

20. In light of the deliberation and outcomes of the global conferences of the 1990s and owing to the observance of the International Year of the Family, there is greater awareness of family issues within the governing bodies of various United Nations organizations. The United Nations system, including the regional commissions, has responded with a variety of efforts to assist countries in developing programmes and policies in furtherance of Year objectives. Collaborative links were also established among the different United Nations organizations (for example, the Department of Economic and Social Affairs of the United Nations Secretariat, the International Labour Organization (ILO), the United Nations Children's Fund (UNICEF), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the United Nations Population Fund (UNFPA) and the World Health Organization (WHO)).

21. Technical assistance to Governments in the family field has been provided by several organizations. For example, UNICEF assisted Azerbaijan, Bhutan, Bolivia, Romania and Yugoslavia in capacity-building to develop appropriate policies and deliver services to families and

children. In 1998 and 1999, the Economic Commission for Latin America and the Caribbean (ECLAC) provided technical assistance to Chile's Servicio Nacional de la Mujer in the elaboration of the National Report on the Family. WHO provides guidance to countries emphasizing the role of a healthy family in development through its Adolescent Development Programme course. ILO seeks to ensure that gender perspectives are mainstreamed in its technical cooperation programmes. The United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) provided assistance to 50,649 refugee families in 1998–1999 in the form of food and cash subsidies, training programmes and small grants or loans to establish self-support projects. The Joint and Co-sponsored United Nations Programme on Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome (UNAIDS) has been involved in Zimbabwe and India concerning training programmes relating to a family life education component of acquired immunodeficiency syndrome (AIDS)-based education carried out in schools. UNESCO assists Governments in making early childhood care and education programmes more widely available and accessible. It provided training courses on early childhood and family education in the Asia and the Pacific region. UNESCO also serves as a networking and clearing house for information on early childhood issues, policies, programmes and organizations and is the lead agency for an Inter-Agency Early Childhood Communication Strategy.

22. In the area of research on family-related issues, ILO conducted research and released publications in 1998 and 1999 on the growth of female-headed households, gender equality, and the social and economic empowerment of women through employment. The United Nations International Research and Training Institute for the Advancement of Women (INSTRAW) is conducting research on temporary labour migration in Sri Lanka and Kuwait. ECLAC published, in 1998 and 1999, editions of the *Social Panorama of Latin America*, which dealt with the intergenerational transmission of poverty and family heterogeneity. UNAIDS has undertaken operational research on household and community responses to the human immunodeficiency virus (HIV)/AIDS epidemic in the rural areas of sub-Saharan Africa; and a five-site study in Africa to identify coping mechanisms of carers for people with HIV/AIDS. A publication by UNICEF entitled "Children and Families affected by HIV/AIDS: Guidelines for Action" is forthcoming. UNESCO endeavours to place the family in the international research agenda, particularly in the areas of early childhood care and education, parent and family education and early childhood research. Research also focuses on families and human rights.

23. The Economic and Social Commission for Asia and the Pacific (ESCAP) organized a Regional Seminar on the Family and the Elderly in October 1998 in Bangkok. ESCAP is also incorporating a distinct component on the role of the family in all of its activities concerning the regional observance of the International Year of Older Persons, 1999. The Economic and Social Commission for Western Asia (ESCWA) focused on the structure of the Arab family for strengthening social ties and supporting values. Towards that end, a project proposal was formulated. Currently, possibilities for funding and joint implementation with interested partners in the United Nations system are being explored. For the period 2000–2001, a major activity will be undertaken on the family, its role, values and identity within a gender-sensitive perspective.

C. Research centres

24. A salient feature of the follow-up to the Year is the concerted development of research activities on families at all levels and the widening scope of international cooperation on family research. Some research centres carry out surveys, studies and investigations to formulate national family policy. These are mostly government institutions operating within a ministry or a department of the country concerned. They have provided valuable input to the policy process at the national level and have promoted international research on the family and related issues. For example, in Malta, a Family Study and Research Commission was created to determine the situation of families and set future policies. The Institute of Child Health in Greece, supervised by the Ministry of Health and Social Services, undertakes research on domestic violence, education, and the study of family relations and family structures, at the global, European and national levels. The Australian Institute of Family Studies continues to serve as the national information resource centre on family-related information.

25. Other research centres and institutes are non-governmental private institutions that focus on family well-being. For example, the National Women's Education Centre in Japan, in 1995–1999, has undertaken research on parenting, child-rearing, promoting lifelong learning for women and gender equality. The Austrian Institute for Family Studies (OIF), in 1995–1998, conducted national surveys on childcare, the efficacy of childcare vouchers, and the impact of telecommuting and home-based work on family relations. The research activities of the Institute of

Labour and Social Affairs, Poland, during 1997–1999, focused on the conditions of families during the transition to market-based economies and on the evolution of families and the welfare State in Europe.

26. The European Observatory on Family Matters prepares regular information on family policies in all member States of the European Commission. The Observatory studies the development of family structures and living arrangements in the individual member States of the Commission, and compares national family policies (for example, taxation of families in different countries). In April 1998, the Austrian Institute for Family Studies was designated as the new coordinator of the European Observatory on Family Matters for a six-year term.

D. Non-governmental organizations

27. At the national level, the Women's Union of the Russian Federation emphasizes social guarantees for family, women and children; promotes gender equality; and combats domestic violence. The Centre for Substitute Family Care, a local Czech non-governmental organization, prepared a situational analysis of children in the Czech Republic from 1996 to 1998. The League of Large and Young Families in Belgium initiates political action on behalf of families and provides family-oriented services for member families. It strives for a better child allowance system, a marriage-neutral income tax, and so on.

28. At the regional level, the Service and Research Foundation of Asia on Family and Culture, for example, conducted an Asian survey on work and family responsibilities; and initiated training programmes for Directors of Family Life Programmes in Asia. Also, the Asia and Pacific Family Forum (APFAM) is interested in family well-being and social change. A conference on this topic will be held in November 1999 in Kuala Lumpur, Malaysia. APFAM is currently undertaking research on the impact of global and regional social and economic trends on families in 12 Asian and Pacific countries.

29. At the international level, the International Movement ATD Fourth World has undertaken a project in sub-Saharan Africa that gives street children the opportunity to learn a trade and, in November 1999, is planning a World Assembly of Children. The International Kolping Society organized meetings, programmes and activities for the benefit of families on the topic of parenting. The New York NGO Committee on the Family continuously monitors the discussions on families in the relevant intergovernmental bodies. The Vienna NGO Committee on the Family is organizing, in cooperation with the Government of Austria, a forum relating to family non-governmental organizations in Central and Eastern European countries in October 1999. The International Confederation of Family Support (CIAF) is an international non-governmental organization that runs more than 100 child day-care centres for families of limited resources in Argentina and other countries.

IV. Current and future family-related activities of the United Nations Secretariat

30. The International Year of the Family (1994) was the result of the concern and interest demonstrated by the international community with respect to addressing family issues within the context of development. The Year has helped to bring the subject of the family into the thinking about development and into the international dialogue on that issue.

31. However, Year follow-up, unlike the follow-up of other recently observed international years or similar events, has been hampered by a number of special factors. First, there is a lack of consensus on terminology and basic definitions. Second, the Year did not result in a global instrument setting standards and incorporating a plan of action. Consequently, the process of follow-up is more complex in the family area than in others, as there is no clear set of objectives against which to assess and review progress.

32. To meet the challenge, the Secretariat has made concerted efforts to move the discourse from a focus on definitions and prescriptive and value judgements to an emphasis on an increased understanding of the social, economic and cultural processes that affect the institution of the family in the performance of its central and irreducible functions in any society. For this reason, the Secretariat will continue to concentrate on: (a) promoting international development cooperation in the area of families; (b) promoting the objectives of the Year within the context of the five-year reviews of the World Summit for Social Development; and (c) as part of its work on policy analysis, monitoring, analysing and evaluating global, social and economic trends that impact on families and identifying new and emerging family issues requiring attention by the global community.

33. The main responsibilities of the Secretariat continue to be: (a) substantive servicing of intergovernmental bodies of the United nations; (b) assisting Governments in the

development, implementation and evaluation of appropriate family-related policies, programmes and initiatives within the context of the Year framework; (c) facilitating and promoting international cooperation in the field of family research; (d) strengthening links between the United Nations and civil society; and (e) providing technical assistance through the United Nations Trust Fund on Family Activities. The current activities under these headings are summarized below.

A. Substantive servicing of intergovernmental bodies

34. Substantive servicing of intergovernmental bodies, in particular the Commission for Social Development, the Economic and Social Council and the General Assembly, is a core responsibility.

35. The family focus has been integrated into the multi-year work programme of the Commission for Social Development, which has been entrusted with the primary responsibility for implementing the outcome of the Social Summit. In this connection, the report of the Secretary-General on the follow-up to the Social Summit, which will be submitted to the Commission at its thirty-eighth session, will include an analysis of family-related issues, as relevant. Also, the report of the United Nations Workshop on Technology and Families, held in Dublin, Ireland, from 6 to 10 October 1998, will be submitted to the same session. The Technology and Families activity should be seen as a proposed concrete initiative, for consideration by the Commission, to implement the overarching goal of strengthening social integration.

B. Assisting Governments on family-related policies, programmes and initiatives

36. The United Nations Secretariat (Division for Social Policy and Development) supported during 1996–1999 the worldwide observance of the International Day of Families (15 May) by preparing background information on the family for use by Governments, the United Nations system, including the regional commissions, and United Nations Information Centres and non-governmental organizations. An annual message of the Secretary-General was prepared for wide distribution. The International Day of Families during the above-mentioned years was observed in many countries. A notable recent event was the celebration of the Day at United Nations Headquarters in May 1999 with the First Lady of Venezuela as guest speaker.

C. International cooperation in the field of family research

37. During 1998–1999, the Secretariat initiated and promoted a number of action-oriented research and case studies on family issues. In cooperation with the International Federation of Training and Development Organizations, a Survey of National Family Policies (Argentina, Egypt, India and the Netherlands) was conducted on an important issue confronting family policy makers — the balance between work and family responsibilities and the need to advance family-friendly policies in the workplace; Selected Country Profiles on Family Policies and Programmes is under way describing a survey of national actions on family-related issues in Austria, Cameroon, Jamaica and the Republic of Korea.

38. The United Nations Workshop on Technology and Families, held in Dublin, Ireland, from 6 to 10 October 1998, and organized by the Department of Economic and Social Affairs of the United Nations Secretariat, in cooperation with the Government of Ireland, and in association with Quest Campus, provided a forum in which to address the nature, forms and extent of technological change and its impact on families.

D. Strengthening linkages between the United Nations and civil society

39. The Secretariat has strengthened the consultative process with non-governmental organizations at all levels, research and academic institutions and foundations[4] through dialogue, through meetings and through financial support provided by the United Nations Trust Fund on Family Activities. The nature of these consultations has ranged from information exchange, organization of meetings, funding requests, research, promotion of International Year of the Family objectives, and so forth.

40. The first United Nations Consultative Meeting of Regional and International Non-Governmental Organizations on the Family, organized by the Secretariat, was held on 9 February 1998 in New York, in conjunction with the thirty-sixth session of the Commission for Social Development, held from 10 to 20 February 1998. It was attended by six international family non-governmental organizations.[5] The

aim was to discuss areas of collaboration between the Secretariat and the non-governmental sector.

41. The New York NGO Committee on the Family, the Vienna NGO Committee on the Family, the Bratislava Institute for Family Studies, the Asia-Pacific Forum on Families, and the International Federation of Training and Development Organizations provide a valuable link between the United Nations and civil society organizations on family issues. The Secretariat has also facilitated networking and an exchange of information with civil society through the Internet and a bimonthly circular letter.

E. United Nations Trust Fund on Family Activities

42. Core activities and objectives of the Department of Economic and Social Affairs of the United Nations Secretariat include increasing awareness about issues that affect families. Projects funded by the United Nations Trust Fund on Family Activities contributed to such actions.

43. The United Nations Trust Fund on Family Activities provides financial assistance for activities specific to families and projects of direct benefit to them, with a special focus on least developed and developing countries, as well as countries with economies in transition. Pursuant to the guidance received from the General Assembly[6] for use of the resources of the Fund, priority in the allocation of grants is given to catalytic and innovative activities related to families and to the reinforcement of family-related concerns in mainstream development. The areas involved are: (a) building national capabilities in least developed and developing countries, and countries with economies in transition; (b) assessments and evaluations of strategies, policies and programmes; and (c) awareness-building and related communications support measures in the context of national development.

44. Since 1996, the United Nations Trust Fund on Family Activities has received nearly 100 requests for assistance. It has provided nearly $251,653 in grants to catalytic and innovative projects in the field of the family (see table). The projects supported by the United Nations Trust Fund for Family Activities have been at all levels and have included policy support actions through research, meetings and community-based activities.

45. The demand for assistance from the Fund is high but contributions to it have been declining. Only one Member State contributed to the Fund in 1998. Even so, the Fund has succeeded in supporting a diverse range of activities through various co-financing arrangements, its direct contribution averaging $20,000 per project.

F. Future actions of the United Nations Secretariat

46. Future activities will be directed towards encouraging reflection on the type of strategies that would meet various family needs worldwide. This should facilitate, *inter alia*, the integration of a family component in national development strategies and plans. In this regard, the Secretariat has initiated discussions with the University of Delaware (United States of America) on convening an Expert Group Meeting on the Development of a Framework on Family Policies to be held in May 2000.

47. Moreover, the Secretariat intends to organize, in the year 2001, an Interregional Expert Group Meeting on the Identification of Indicators Relating to the Situation of Families. This would help Governments to gather and investigate data on trends in family formulation, structure and dissolution. Research will also be undertaken on Employment and Family-Supportive Environments in Selected Countries (2000) and on the impact of education, information and communication technology on families, as a follow-up to the United Nations Workshop on Technology (2001). These studies will provide a basis for the elaboration of policies and programmes, including systematic and integrated approaches to the design, implementation and evaluation of policies for families.

48. The Secretariat will continue to encourage research and discussion of a range of family issues with a focus on areas of agreement and policy relevance. In this regard, it is establishing an inter-university network on family-policy development. Global comparative studies on selected issues in family-sensitive policy design will also be conducted to improve accessibility of global information on the Year objectives and strategy at all levels. A Directory of Focal Points on the Family will be prepared periodically.

United Nations Trust Fund on Family Activities: approved grants by purpose and value, 1996–1999

Project	*Value (United States dollars)*
Study	
Recent demographic situation in family and social policies in Central and Eastern Europe	15 000
Study	
Family activities for primary schoolchildren to improve their self-discipline and to build up better relationships with their family members (pending approval)	14 883
Study	
A strategic plan for families in the Asia-Pacific region	20 000
Study	
Study tour of Russian families with children with disabilities	8 770
Study	
Pilot project: psychological aid to families during the period of social, political and economic transformation: an educational and training programme in Ukraine	3 000
Study	
Global inventory of mechanisms: a database of responsibility centres for national action on families	30 000
Study	
Work and family project	25 000
Meeting	
Nineteenth International Congress of the International Federation for Parent Education (IFPE) (Globalization and migration: an uprooted youth — an international focus)	20 000
Meeting	
The Impact of Technology on the Family	70 000
Meeting	
Integrating Family in Social Progress and Development. Implementing Family-Specific Recommendations of Global Conferences of the 1990s, Sixth International Seminar	20 000
Training	
Second phase for day-care centre: "Growing up — International Year of the Family", donated by International Year of the Family in its first stage; training leaders and personnel of the day-care centre in Argentina	10 000
Study	
Poverty, women and gender in development and family life in Antigua and Barbuda	15 000
Total	**251 653**

Notes

[1] *Report of the World Summit in Social Development, Copenhagen, 6–12 March 1995* (United Nations publication, Sales No. E.96.IV.8), chap. I, resolution 1, annex II.

[2] As of 15 July 1999, responses were received from the following: Albania, Algeria, Austria, Belarus, Brunei Darussalam, Burkina Faso, Cameroon, Chile, Cyprus, Czech Republic, Denmark, Egypt, Estonia, Finland, Germany, Ghana, Guyana, Iceland, Indonesia, Ireland, Kuwait, Latvia, Malaysia, Mauritius, Netherlands, New Zealand, Nigeria, Norway, Portugal, Sao Tome and Principe, Senegal, Singapore, Slovakia, South Africa, Switzerland, Thailand, Togo, Trinidad and Tobago, United Kingdom of Great Britain and Northern Ireland, Zambia and Zimbabwe.

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Item 165 of the provisional agenda*
Human resources management

Administrative issuances on delegation of authority

Note by the Secretary-General

1. The present note is submitted in response to paragraph 9, part IV, of General Assembly resolution 53/221 of 7 April 1999, by which the Assembly requested the Secretary-General "to submit, through the Advisory Committee on Administrative and Budgetary Questions, at the main part of the fifty-fourth session of the General Assembly, a consolidated and comprehensive compendium of all administrative circulars on the delegation of authority".

2. The request was made in the context of the General Assembly's biennial review of human resources management issues. Accordingly, this note covers only the administrative issuances dealing with delegation of authority on that subject, and does not address delegation of authority with respect to programmes, the management of funds or assets or procurement matters.

3. The present note focuses on the delegation of the authority exercised by the Secretary-General as chief administrative officer of the Organization under Article 97 of the Charter. It does not deal with administrative arrangements concluded between the United Nations and such treaty organs as the secretariat of the United Nations Framework Convention on Climate Change, or the United Nations Convention to Combat Desertification. Nor does it address the particular situation of the United Nations Funds and Programmes whose executive heads received directly from the General Assembly the authority to appoint and administer their staff, as is the case, for instance, of the United Nations Development Programme (General Assembly resolution 2688 (XXV) of 11 December 1970), or the Office of the United Nations High Commissioner for Refugees (General Assembly resolution 428 (V) of 14 December 1950). Special arrangements have been put in place for the United Nations Compensation Commission.

4. The basic principles governing delegation of authority from the Secretary-General to other officials of the Organization are set out in Secretary-General's bulletin ST/SGB/151 of 7 January 1976 on administration of the Staff Regulations and the Staff Rules (attachment 1).

Administration of the 100 series of the Staff Rules

5. On 22 March 1989, administrative instruction ST/AI/234/Rev.1 on administration of the Staff Regulations and Staff Rules (attachment 2) was issued to clarify, amplify and update the delegation of authority in the administration of the Staff Regulations and of the 100 series of the Staff Rules. The instruction has five annexes:

(a) Annex I lists the matters reserved to the Secretary-General;

(b) Annex II lists the matters within the authority of the Assistant Secretary-General for Human Resources

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Management, specifying that authority on some of those matters is to be exercised by the head of a regional commission or United Nations office in respect of staff serving at offices away from Headquarters;

(c) Annex III lists the matters within the authority of the Controller;

(d) Annex IV lists the matters within the authority of the heads of departments or offices, both at Headquarters and in the regional commissions and other offices away from Headquarters;

(e) Annex V lists additional matters within the authority of heads of offices at Geneva, Vienna and Nairobi with respect to their staff.

6. Subsequently, ST/AI/234/Rev.1 was amended on 14 June 1990 (attachment 3), to clarify certain aspects of the authority of the Executive Director of the United Nations Environment Programme (UNEP). It was further amended on 1 February 1999 by ST/AI/1999/1 (attachment 4), which delegated to heads of departments and offices certain matters nominally under the authority of the Assistant Secretary-General for Human Resources Management, but in respect of which the intervention of the Office of Human Resources Management added little, if any, value to the process.

Administration of the 200 series of the Staff Rules

7. Authority to recruit and administer project personnel appointed under the 200 series of the Staff Rules was originally exercised by the Office of Personnel Services in New York, and by the United Nations Office at Geneva for experts serving with offices located in Geneva, under arrangements broadly similar to those applicable for staff serving under the 100 series. Subsequently, authority for most administrative decisions relating to recruitment and administration of project personnel, while nominally under the Assistant Secretary-General for Human Resources Management, was transferred to a special section in the Department of Technical Cooperation for Development (now part of the Department of Economic and Social Affairs). In the case of project personnel attached to departments and offices located in Geneva, authority was transferred to a special unit in the United Nations Conference on Trade and Development. Those administrative arrangements were reported by the Secretary-General to the General Assembly in documents A/C.5/32/86 of 12 December 1977 and A/C.5/35/51 of 13 November 1980, respectively.

Administration of the 300 series of the Staff Rules

8. Originally, the 300 series of the Staff Rules covered only short-term staff appointed for a period not exceeding six months. Short-term staff are recruited and administered at offices away from Headquarters without reference to the Office of Human Resources Management. In New York, the division of tasks related to the administration of 300 series short-term staff is set out in PD/2/78 of 1 June 1978 (attachment 5). Additional administrative arrangements were made in June 1999 to allow the Department of General Assembly Affairs and Conference Services and the Department of Public Information, where the bulk of short-term appointments under the 300 series are made, to extend such appointments up to six months and reappoint under the 300 series staff who had been previously recruited through the Office of Human Resources Management.

9. The 300 series of the Staff Rules was amended in 1994 to introduce appointments of limited duration, which continue to be used by the United Nations on a pilot basis and only for staff serving in special missions. Authority to recruit and administer staff appointed under an appointment of limited duration has been delegated to the Department of Peacekeeping Operations as part of the delegation of authority given to that Department in respect of mission personnel (see para. 12 below). Application of the rules governing appointments of limited duration is monitored through a joint task force composed of representatives of the Office of Human Resources Management and of the Field Administration and Logistics Division of the Department of Peacekeeping Operations.

Additional delegations of authority

10. General delegation of authority to recruit and administer staff was given to the Executive Director of the United Nations International Drug Control Programme in respect of staff serving with that Programme in ST/AI/388 of 14 September 1993 on personnel arrangements for the United Nations International Drug Control Programme (UNDCP) (attachment 6). Similarly, ST/AI/401 of 18 January 1995 on personnel arrangements for the Office of Internal Oversight Services outlined the administrative arrangements and the authority of the Under-Secretary-General for Internal Oversight Services in personnel matters (attachment 7).

11. Special arrangements have been made for the recruitment and administration of the staff of the Registry

of the International Criminal Tribunals for the Former Yugoslavia and for Rwanda, established pursuant to Security Council resolutions 808 (1993) of 22 February 1993 and 955 (1994) of 8 November 1994, respectively. The Registrar of each Tribunal has received authority to recruit, place and promote staff up to the D-1 level, on behalf of the Secretary-General.

12. More specific and targeted delegation of authority, with provision for monitoring by the Office of Human Resources Management, has been given to a number of departments and offices. For example, since 1994, the Department of Peacekeeping Operations has authority in respect of mission appointees and staff members serving on mission detail (attachment 8). Similarly, since 1995, the United Nations Offices at Geneva and Vienna have additional delegated authority, as set out in the document reproduced in attachment 9. In 1997, in the context of the pilot project described in the report of the Secretary-General on the impact of the implementation of pilot projects on budgetary practices and procedures (A/53/947), the Economic Commission for Latin America and the Caribbean received additional delegation of authority, as set out in attachment 10.

Attachment 1

ST

UNITED NATIONS

SECRETARIAT

ST/SGB/151
7 January 1976

SECRETARY-GENERAL'S BULLETIN

To: Members of the staff

Subject: ADMINISTRATION OF THE STAFF REGULATIONS AND THE STAFF RULES

1. The Secretary-General, in a report to the twenty-ninth session of the General Assembly on personnel questions (A/C.5/1601), endorsed a recommendation of the Administrative Management Service that there should be greater delegation of authority and responsibility to departments and offices at Headquarters and to other established offices in selected areas of personnel management in order to achieve a greater decentralization of responsibility for personnel management. The General Assembly, on the recommendation of the Fifth Committee, authorized the Secretary-General to proceed with his proposal, subject to the comments of the Advisory Committee on Administrative and Budgetary Questions, which concurred with the Secretary-General's approach on the understanding that it would not weaken over-all central control. Accordingly, a complete review of all delegations of authority under the Staff Regulations and the Staff Rules relating to regular staff has been initiated with the objective of delegating as much authority as possible to the officers directly involved in the administration of the staff, retaining centrally only those decisions which have broad policy implications.

2. The purpose of this bulletin is to establish the principles according to which authority to take decisions under the Staff Regulations and Staff Rules will be delegated by the Secretary-General to other officials of the Organization.

3. The Secretary-General will exercise authority under the Staff Regulations and Staff Rules in (a) matters affecting all of the staff of the Secretariat, (b) matters affecting all of the staff at Headquarters, (c) the appointment of staff at, and their promotion to, the Senior Officer (P-5) level and above, (d) the termination of appointments (e) the composition of the central advisory bodies and (f) appeals and disciplinary cases. All matters for the decision of the Secretary-General will be submitted to him through the Under-Secretary-General for Administration and Management to whom the Secretary-General may delegate from time to time such authority in these matters as he deems advisable.

4. The Assistant Secretary-General for Personnel Services will exercise authority under the Staff Regulations and the Staff Rules in (a) the administration of all matters not reserved to the Secretary-General which require to be decided centrally in the context of their over-all policy implications, (b) the appointment and promotion of staff up to the First Officer (P-4) level of the Professional category and in the Field Services, (c) the interpretation of Staff Regulations and Rules and (d) the granting of exceptions to the Staff Rules.

5. The Assistant Secretary-General, Controller, will exercise authority under the Staff Regulations and Staff Rules in (a) the setting of rates of allowances and of salary scales for staff in the General Service and related categories at offices away from Headquarters, with due regard to any decisions that may be taken by the International Civil Service Commission under its statute, (b) the establishment of over-all conditions governing allowances and benefits, and (c) the granting of compensation for service-incurred death, illness or injury and for service-incurred loss or damage to property.

6. All heads of departments and offices will exercise authority under the Staff Regulations and Staff Rules in (a) the assignment of staff within their department or office, (b) the application of the mandatory terms of Staff Rules and (c) the exercise of discretionary decisions under the Staff Rules for which authority has been expressly delegated to them.

7. The heads of offices away from Headquarters will, in addition, exercise authority under the Staff Regulations and Staff Rules in (a) the establishment of working hours and official holidays at the office and (b) the composition of such subsidiary panels of the appointment and promotion bodies and such other bodies as they are expressly authorized to establish.

8. The authority delegated to the heads of all departments and offices under the Staff Regulations and Staff Rules will be exercised in accordance with the policy of the Organization as announced by Secretary-General's bulletins, administrative instructions and such other guidelines as may be issued by the Assistant Secretary-General for Personnel Services. The Office of Personnel Services will monitor the administration of the staff under the Staff Regulations and Staff Rules and will take such action as may be required to ensure consistency of application.

9. Detailed statements of the authority required to take decisions under each staff rule will be issued in an administrative instruction.

Kurt WALDHEIM
Secretary-General

Attachment 2

UNITED NATIONS

ST

Secretariat

ST/AI/234/Rev.1
22 March 1989

Personnel Manual Index No. 112

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: ADMINISTRATION OF THE STAFF REGULATIONS AND STAFF RULES

1. This revised instruction sets out the authority required for decisions in the administration of the staff regulations and staff rules 101.1 to 112.7. Its purpose is to clarify, amplify and bring up to date the delegation of authority on the subject in accordance with the principles set forth in Secretary-General's bulletin ST/SGB/151. This instruction is effective immediately and supersedes administrative instruction ST/AI/234 and Amend.1 and 2, and those amendments indicated in paragraphs 6 and 7 of personnel directive PD/1/77.

Definitions

2. Where it is mandatory under the terms of a staff rule that a specific action will be taken when particular conditions are fulfilled, the decision to take the action will be termed a "direct application" of the rule. Where a staff rule allows the discretion to take or not to take an action within the terms and conditions laid down in the rule and with respect to the particular circumstances of the case, the decision to take the action will be termed a "discretionary decision".

3. An "exception" to a staff rule is required when a decision to take a specific action under the rule can only be authorized if a particular condition laid down in the rule is waived. Under staff rule 112.2, an exception to the staff rules may be made by the Secretary-General, provided that such exception is not inconsistent with any staff regulation or other decision of the General Assembly and provided further that it is agreed to by the staff member directly affected and is, in the opinion of the Secretary-General, not prejudicial to the interests of any other

staff member or group of staff members. Where a rule in itself allows an action to be taken under exceptional circumstances, the decision to take the action, when the exceptional circumstances arise, is a discretionary one and does not constitute an exception under staff rule 112.2.

Matters reserved to the Secretary-General

4. Matters reserved to the Secretary-General are listed in annex I. All matters for the decision of the Secretary-General will be submitted to him through the Under-Secretary-General for Administration and Management, to whom the Secretary-General may delegate from time to time such authority in these matters as he deems advisable.

Matters within the authority of the Assistant Secretary-General for Human Resources Management

5. Matters within the authority of the Assistant Secretary-General for Human Resources Management are listed in annex II. The Assistant Secretary-General may delegate the exercise of this authority within the Office of Human Resources Management. Authority with respect to the matters indicated by an asterisk in annex II will be exercised by the Assistant Secretary-General for Human Resources Management in respect of staff at Headquarters and at United Nations missions and information centres and by the head of the office concerned in respect of staff at other offices away from Headquarters. Authority with respect to matters indicated by two asterisks in annex II will be exercised by the Assistant Secretary-General for Human Resources Management in consultation with the Controller. With respect to the establishment of rates of allowances and of salary scales for staff in the General Service and related categories, the authority will be exercised with due regard to any decisions that may be made by the International Civil Service Commission (ICSC) under its statute.

Matters within the authority of the Controller

6. Matters within the authority of the Controller are listed in annex III. The Controller may delegate the exercise of this authority within the Office of Programme Planning, Budget and Finance.

Matters within the authority of heads of departments or offices

7. In addition to matters that involve the direct application of staff rules, matters within the discretionary authority of heads of departments or offices are listed in annex IV. Such authority will normally be exercised on behalf of the head of department or office by the appropriate executive or administrative officer at Headquarters or by the chief of administration at offices away from Headquarters.

Matters within the authority of offices away from Headquarters

8. The heads of offices away from Headquarters will exercise authority with respect to their staff on matters listed in annexes IV and V in addition to those indicated by an asterisk in annex II. They may delegate the exercise of their

authority under annexes II, IV and V to the chief of administration or other officials responsible for the administration of their staff.

Procedure

9. The direct application of staff rules is normally the responsibility of the executive or administrative officer of the department or office concerned. In cases involving discretionary decisions, the responsible officer has the duty to refer to his or her superior all matters of importance within the delegated authority or to seek advice of the Office of Human Resources Management in cases of doubt. All exceptions under staff rule 112.2 require the authorization of the Assistant Secretary-General, Office of Human Resources Management, who may delegate the exercise of this authority to other officials within that Office.

Records

10. Actions taken in direct application of staff rules or discretionary decisions that affect the status of individual staff members will be recorded by the responsible officer in the official status file of the staff member concerned. The recording will be done on the personnel action (P.5) form or other appropriate action documents, such as travel authorization (PT.8) and personnel payroll clearance (P.35) forms. Discretionary decisions taken within the delegated authority, whether favourable or unfavourable to the individual staff member, will, in addition, be recorded and filed in the official status file, giving adequate details of the staff member's request, if any, and the reasoning which formed the basis for the decision. Copies of all documents recording the actions and decisions will be forwarded to the appropriate Personnel Officer, Staff Administration and Monitoring Service, Office of Human Resources Management.

11. All exceptions under staff rule 112.2 will be logged in a record maintained by the Staff Administration and Monitoring Service, Office of Human Resources Management, and kept available for audit purposes.

Monitoring

12. The Office of Human Resources Management has the responsibility for monitoring the direct application of staff regulations and rules and the exercise of discretion within the delegated authority. For that purpose, it will examine copies of P.5 actions and other documents recording discretionary decisions. It will bring to the attention of the head of the department or office concerned any actions or decisions that are not in accordance with the staff regulations and rules or not in conformity with established policies of the Organization and may require the department or office to correct or revoke them.

13. Interpretation of the staff rules lies within the responsibility of the Office of Human Resources Management. Staff members with inquiries with regard to the application of staff regulations or rules in their own cases should address them, in the first instance, to their executive or administrative officer. Departments or offices should address their inquiries with regard to the interpretation of staff rules and their application to individual cases to the Staff Administration and Training Division, Office of Human Resources Management.

Annex I

MATTERS RESERVED TO THE SECRETARY-GENERAL

Regulation 1.8	Decision to waive privilege or immunity
Rule 101.2 (a)	Establishment of normal working hours at Headquarters
101.3 (a)	Establishment of official holidays at Headquarters
Regulation 3.1, annex I (2)	Authority to make additional payments to Under-Secretaries-General and Assistant Secretaries-General
annex I (5)	Authority to make additional payments to Directors and to heads of offices away from Headquarters
Rule 103.1	Establishment of salary scales for Field Service personnel
103.18 (b) (iii)	Authorization of deductions for indebtedness to third parties to which the staff member does not agree
Regulation 4.5	Appointment of Under-Secretaries-General and Assistant Secretaries-General
	Appointment for one year or more of staff members in the Director (D-2) level and extension of such appointments. Appointment for one year or more of staff members at the Principal Officer (D-1) level and at the Senior Officer (P-5) level in the Professional category
Rule 104.6	Establishment of conditions under which staff members shall be regarded as local recruits
104.7	Establishment of conditions governing loss of entitlement to international benefits
104.14 (b) (i) and (c) (i)	Appointment of members of the Appointment and Promotion Board and Committees
(f) (iii)	Promotion of staff to the Director (D-2) and Principal Officer (D-1) levels and to the Senior Officer (P-5) level in the Professional category
106.4	Grant of compensation over $25,000 for death, injury or illness

Rule 107.8	Establishment of standards of travel accommodation
107.10	Approval of exceptions to the standards of travel accommodation
Regulation 8.1 (b)	Agreement to electoral regulations drawn up by the staff representative bodies
Rule 108.2 (a) and (b)	Selection of president, and of members representing the Secretary-General, of the Joint Advisory Committee at Headquarters and of the Secretariat-wide joint staff-management body
(e)	Designation of secretary of Joint Advisory Committee at Headquarters and of Secretariat-wide joint staff-management body
Regulation 9.1	Termination of appointments (except as provided in annexes II and V)
9.3 (a) and annex III (d)	Decision to pay indemnity to staff member dismissed for misconduct
9.3 (b)	Decision to pay higher termination indemnity
9.5	Decision to retain in service beyond the age of 60 staff members at the Senior Officer (P-5) level and above
Rule 109.1 (a)	Appointment of chairman and members of the Special Advisory Board
109.2 (b)	Decision to waive notice of resignation of staff at the Assistant Secretary-General level and above
(c)	Decision to require that resignation be submitted in person
Regulation 10.2	Decision to impose disciplinary measures or to summarily dismiss a staff member
Rule 110.2 (a) (i) and (ii)	Appointment of chairpersons and members of Joint Disciplinary Committees
(d)	Removal of chairperson or member appointed by Secretary-General
111.2 (a) (i) and (ii)	Appointment of chairpersons and members of Joint Appeals Boards

Rule 111.2 (c) (iii)	Decision to refer appeal to a board other than Headquarters Board or to establish an appropriate *ad hoc* body
(d)	Removal of chairperson or member appointed by Secretary-General
111.3 (1)	Decision on reports of the Joint Appeals Boards
112.2 (a)	Provisional amendments of the staff rules

Annex II

MATTERS WITHIN THE AUTHORITY OF THE ASSISTANT SECRETARY-GENERAL FOR HUMAN RESOURCES MANAGEMENT

Regulation 1.2	Decision to assign a staff member to another department, office or duty station
Regulation 1.6	Approval of acceptance of honour, decoration, favour, gift or remuneration from any source external to the Organization
Rule 101.2 (a)	Approval of exceptions to normal working hours at Headquarters
101.5	Approval of interagency loan, secondment or transfer of staff in the Professional category
101.5*	Approval of interagency loan, secondment or transfer of staff in the General Service and related categories
101.6 (a)*	Approval of continuous or recurring outside occupation or employment
101.8 (b)	Interpretation of staff regulation 1.7
Regulation 3.3 (a)**	Authorization to exempt from staff assessment the salaries and emoluments of staff engaged at local rates
Rule 103.0**	Establishment of salary scales for language teachers
103.2**	Establishment of salary scales for General Service staff and related categories
103.3**	Establishment of salary scales for Trades and Crafts category
103.4**	Establishment of salary scales for locally recruited mission staff
103.5 (a)**	Establishment of rate and conditions of payment of non-resident's allowance

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* Authority exercised by the head of the office concerned in respect of staff at offices away from Headquarters.

** Authority exercised by the Assistant Secretary-General for Human Resources Management, in consultation with the Controller.

Rule 103.6 (b)	Organization of language proficiency tests
(c)*	Decision to retest language knowledge
(d)**	Establishment of rates of language allowances
103.7 (b)*	Application of dependency rate of post adjustment
(d) (i)	Decision to apply post adjustment of former duty station for more than six months
(d) (ii)*	Decision to pay subsistence allowance on appointment or assignment to a new duty station for less than one year
(e)	Establishment of conditions for housing supplement to post adjustment
103.8*	Decision to withhold salary increment
103.11 (b)	Granting of special post allowance (except as provided in annex V) including special post allowance to the D-2 level
(c)	Granting of special post allowance with immediate effect
103.12 (a) and (c)**	Establishment of rates and conditions for overtime compensation
103.13 (a) and (d)**	Establishment of rates and conditions for night differential
103.14 (a) (iv) and (v)*	Granting of more than two months' salary advance on initial appointment or change of duty station
103.14 (b)	Granting of salary advance in exceptional and compelling circumstances, irrespective of the amount, with regard to staff members at Headquarters and in the amount of more than two months' salary with regard to staff members at offices away from Headquarters
103.18 (b) (ii)	Authorization of deduction for indebtedness to the United Nations which relates to actions taken under the authority of the Assistant Secretary-General for Human Resources Management
(b) (iii)*	Authorization of deduction for indebtedness to third parties with the agreement of the staff member

Rule 103.20*	Approval of education grant, special education grant for disabled children and related travel
103.21 (a)	Designation of special mission assignments
(b)	Establishment of rates, conditions and currency of mission subsistence allowance
(c)	Establishment of rates and conditions for payment of clothing allowance
103.22 (a) (ii)	Decision to pay assignment allowance on appointment or assignment to a new duty station
(c)	Decision to pay subsistence allowance on assignment to a duty station for less than one year
(f)	Decision to pay assignment allowance at duty station in staff member's home country after two years' service at duty station outside home country
103.23 (a)**	Establishment of rates for dependency allowance for language teachers and General Service and related categories
103.24*	Approval of dependency allowances
Regulation 4.2	Decision to transfer a staff member to another department, office or duty station
Regulation 4.5	Appointment for a total period of less than one year of: (a) staff members at the Director (D-2) level; and (b) staff members at the Principal Officer (D-1) level and in the Professional category at Headquarters
	Appointment of staff members in the Professional category up to the First Officer (P-4) level for one year or more on recommendation of the Appointment and Promotion Board
	Appointment of staff members in the Field Service category
	Appointment of staff members in other categories at Headquarters

Regulation 4.6	Establishment of medical standards
Rule 104.3	Decision whether to give new appointment or reinstate within 12 months of separation from service or on disability benefit in respect of staff in the Professional category and above
104.3*	Decision in respect of other staff
104.4 (c)	Decision to authorize change of residence status in respect of staff in the Professional category and above
(c)*	Decision in respect of other staff
(e)*	Decision to require information from staff member
104.7 (c)*	Decision whether entitlement to international benefits is lost
104.8 (b)	Decision as to which nationality a staff member is most closely associated in respect of staff in the Professional category and above
(b)*	Decision in respect of other staff
104.10	Decision to appoint candidate having any of the family relationship indicated in paragraph (a) of the rule to a staff member
104.12 (a)*	Decision to reduce probationary period or to extend probationary period on recommendation of the appointment and promotion body
104.13 (b)	Decision to grant regular appointments
104.14	Promotion of staff members in the Professional category up to the First Officer (P-4) level on recommendation of the Appointment and Promotion Board
104.14	Promotion of staff members within the purview of the Appointment and Promotion Panel at Headquarters
(d)	Appointment of members of subsidiary panels at Headquarters
105.1 (f)	Establishment of terms and conditions of annual leave for local mission staff

Rule 105.2 (a)	Grant of special leave with full or partial pay, other than for jury service, and grant of special leave without pay for more than three months (except as provided in annex V)
(b)	Grant of special leave for military service
105.3 (d) (iii)*	Authorization to designate a country other than the country of nationality as the home country
(j)	Approval of separate travel of dependants not in the same home leave year
(m)	Establishment of terms and conditions for grant of accelerated home leave
106.1	Exclusion from participation in the United Nations Joint Staff Pension Fund
107.1 (a) (vii)	Authorization of travel of staff members for reasons other than medical or security
107.2 (a) (vii)	Authorization of travel of eligible family members for reasons other than medical or security
107.3 (a) (iv)*	Decision that special circumstances or conditions make family members' travel undesirable
107.4 (a)*	Decision that there are compelling reasons for authorizing payment of return travel expenses
107.11 (a)	Establishment of rates and conditions for reimbursement of travel costs by automobile
107.14	Establishment of transit allowance
107.15 (b)	Authorization to pay higher travel subsistence allowance
107.16	Establishment of special rates of travel subsistence allowance
107.20 (c) (i)	Establishment of special rates for installation grant
(c) (ii)	Establishment of conditions for extension of time-limits for installation grant
(c) (iii)	Establishment of conditions for payment of lump-sum installation grants

Rule 107.20 (g)	Authorization of installation grant when no travel is paid
107.21 (m)	Establishment of terms and conditions for additional shipment entitlements
107.27 (a)	Decision whether to pay removal costs or assignment allowance
107.27 (d) (i)*	Setting of a higher maximum
(d) (ii)	Authorization of storage costs not directly incidental to normal transportation
(d) (v)	Establishment of conditions for transportation of automobiles
107.28 (a)*	Authorization of removal on resignation before completing two years of service
Regulation 9.1	Termination of appointment for reasons of health
	Termination of appointments of staff members at Headquarters within the purview of subsidiary panel on its recommendation (in consultation with Office of Legal Affairs) other than termination of permanent appointments for unsatisfactory services
Regulation 9.5	Decision to retain staff in the Professional category up to and including the First Officer (P-4) level in service beyond the age of 60
9.5*	Decision to retain staff in the General Service and related categories in service beyond the age of 60
Rule 109.3 (c)*	Decision to pay compensation in lieu of notice
109.5*	Approval of repatriation grant
109.9*	Decision to waive requirement of restitution of advance annual or sick leave
109.10 (a) (vi)*	Approval of death benefit
109.11*	Certification of service
110.3 (a)	Agreement to waive reference to the Joint Disciplinary Committee

Rule 110.3 (c)*	Reprimand of a staff member
110.4	Decision to suspend from duty pending investigation (except as provided in annex V)
Regulation 11.2	Agreement to direct submission of an application to the Administrative Tribunal (in consultation with Office of Legal Affairs)
Rule 111.2 (a)	Decision to seek assistance of chairperson or designated member of Joint Appeals Board in conciliation proceedings
	Decision on request for review
112.2 (b)	Decision to make an exception to the rules
112.3	Decision to require staff member to reimburse United Nations for financial loss

Annex III

MATTERS WITHIN THE AUTHORITY OF THE CONTROLLER

Regulation 3.3 (f) (ii)	Authorization to make payments in excess of amounts deducted as staff assessment
Rule 103.18 (b) (ii)	Authorization of deduction for indebtedness to the United Nations which relates to actions taken under the authority of the Controller
106.4	Grant of compensation for death, injury or illness up to $25,000 (on recommendation of Advisory Board on Compensation Claims)
106.5	Grant of compensation for loss or damage (on recommendation of Claims Board)

Annex IV

MATTERS WITHIN THE AUTHORITY OF THE HEADS OF DEPARTMENTS OR OFFICES

Regulation 1.2	Decision to assign staff members to any activity within the department or office
Rule 101.2 (c)	Decision to require staff member to work overtime
Regulation 1.5	Authorization to disclose information
Rule 101.6 (e)	Approval of outside activity in accordance with administrative instruction ST/AI/190/Rev.1
103.5 (a)	Approval of non-resident's allowance
103.6 (a)	Approval of language allowance
103.7 (d) (i)	Decision to apply post adjustment of former duty station for maximum of six months
103.12 (b)	Grant of time off to staff in Professional category
103.14 (a) (iv) and (v)	Grant of up to two months' salary advance on initial appointment or change of duty station
103.18 (b) (ii)	Authorization of deduction for indebtedness to the United Nations which relates to actions taken under the authority of heads of departments/offices
103.22 (b)	Decision to pay assignment allowance beyond five years for a further period not exceeding two years
(d)	Decision to continue to pay assignment allowance at duty station in the field on extension of appointment or assignment for less than five years
(h)	Decision to adjust payment of assignment allowance where both husband and wife are staff members
104.12 (b)	Decision to extend the fixed-term appointment of staff members in the Professional category and above for no more than one month beyond the date of expiration of the appointment approved by the Office of Human Resources Management. Decision to extend the fixed-term appointment of other staff members for no more than three months beyond the date of expiration of the appointment approved by the Office of Human Resources Management.

Rule 104.15 (a)	Decision to require staff members to satisfy the Medical Officer by medical examinations that they are free from ailment likely to impair the health of others (on advice of Medical Officer)
(b)	Decision to require staff member to undergo medical examination and inoculation before or after mission
105.1 (b)	Decision to require staff to take leave within a designated period
(e)	Approval of advance annual leave
105.2 (a)	Grant of special leave for jury service
(a)	Grant of special leave without pay for up to three months
105.3 (e)	Decision on timing of first home leave
(f)	Approval of advanced home leave
(g)	Approval of delayed home leave
(h)	Decision to require home leave to be taken in conjunction with travel on official business or on change of official duty station
(j)	Approval of separate travel of eligible family members within the same home leave year
(l)	Decision to require evidence of length of time spent in home country
106.2 (a) (i)	Approval of sick leave (on advice of Medical Officer)
(a) (iii)	Refusal of further sick leave or withdrawal of unused portion (on advice of Medical Officer)
(a) (viii)	Decision to require a medical certificate to be submitted or to undergo a medical examination (on advice of Medical Officer)
(a) (ix)	Approval for staff member on sick leave to leave the area of the duty station (on advice of Medical Officer)
(b)	Approval of sick leave within period of annual leave (on advice of Medical Officer)

Rule 106.2 (c)	Direction to staff member not to attend the office because of contagious disease or quarantine order (on advice of Medical Officer)
106.3 (a)	Approval of maternity leave (on advice of Medical Officer, as appropriate)
	Approval of return to duty (on advice of Medical Officer, as appropriate)
(c)	Approval of sick leave for maternity cases (on advice of Medical Officer)
107.1 (a) (vii)	Authorization of travel of staff member for medical reasons (on advice of Medical Officer)
(a) (vii)	Authorization of travel of staff member for security reasons (on advice of Security Co-ordinator)
107.2 (a) (vii)	Authorization of travel of eligible family members for medical reasons (on advice of Medical Officer)
(a) (vii)	Authorization of travel of eligible family members for security reasons (on advice of Security Co-ordinator)
107.5 (b)	Authorization of one-way travel for child on ceasing to be a dependant or on completion of continuous full-time attendance at university
(c)	Authorization of repatriation travel of former spouse
107.9 (a)	Approval of alternative route in best interests of the United Nations a/
(b)	Approval of alternative mode of transportation a/
107.12 (a)	Authorization for staff member to make own arrangements for travel a/
Rule 107.19	Authorization of miscellaneous travel expenses
107.21 (c)	Approval of baggage charges considered excess by one company a/
(d)	Authorization of additional excess baggage charges
(e)	Authorization of unaccompanied shipments relating to home leave etc.

Rule 107.21 (i)	Authorization of shipments of personal effects on travel for less than one year
(j)	Authorization of conversion of shipment to air freight
107.23	Approval of travel advances
107.26	Approval of payment of reasonable costs of transportation of decedents
107.27 (b)	Authorization of removal costs from a place other than the place of recruitment or the place of home leave without an increase in cost to the Organization
(c)	Authorization of removal costs to a place other than the place to which the staff member is entitled to be returned on separation from service without an increase in cost to the Organization
(d) (v)	Authorization of transportation of automobile
(g)	Decision to pay storage charges beyond five years for up to two further years when staff member's assignment is extended at initiative of Organization.
109.2 (b)	Acceptance of resignation on short notice up to and including the Director (D-2) level
109.10 (a) (i)	Authority to grant annual leave during period of notice of resignation

Notes

a/ In consultation with the Office of General Services or corresponding administrative unit away from Headquarters.

Annex V

MATTERS WITHIN THE AUTHORITY OF HEADS OF OFFICES AWAY FROM HEADQUARTERS WITH RESPECT TO THEIR STAFF (IN ADDITION TO THOSE LISTED WITH AN ASTERISK IN ANNEX II AND THOSE LISTED IN ANNEX IV)

All offices

Rule 101.2	Establishment of normal working hours of office and approval of exceptions thereto a/
101.3 (a)	Establishment of official holidays at office a/
103.11 (b)	Grant of special post allowance within the General Service and related categories
103.14 (b)	Grant of up to two months' salary advance in exceptional and compelling circumstances
104.12	Grant of probationary appointments to staff members within the purview of subsidiary panel on its recommendation. Grant of fixed-term appointments to staff in General Service and related categories. Grant of fixed-term appointments for total period of less than one year to staff in the Professional category and the Principal Officer (D-1) level
104.13 (a)	Grant of permanent appointments to staff members within the purview of subsidiary panel on its recommendation
104.14 (d)	Appointment of members of subsidiary panels a/
(f) (iii)	Promotion of staff members within the purview of subsidiary panel on its recommendation
108.2 (a)	Selection of president, and of members representing the head of office, of the Joint Advisory Committee or corresponding staff-management body at office a/
(c)	Designation of secretary of Joint Advisory Committee or corresponding staff-management body at office

United Nations Office at Geneva, the United Nations Office at Vienna b/ and the United Nations Environment Programme and the United Nations Centre for Human Settlements

Rule 105.2	Grant of special leave without pay for up to one year
Regulation 9.1	Termination of appointments of staff members within the purview of subsidiary panel on its recommendation (on advice of the Legal Liaison Officer) other than termination of permanent appointments for unsatisfactory services
Rule 110.4	Decision to suspend staff members pending investigation

Notes

a/ Decisions will be reported to the Office of Human Resources Management through copies of relevant information circulars.

b/ Except for internationally recruited staff of the International Trade Law Branch.

Attachment 3

UNITED NATIONS

ST

Secretariat

ST/AI/234/Rev.1/Amend.1
14 June 1990

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: ADMINISTRATION OF STAFF REGULATIONS AND RULES*

1. The purpose of this amendment to administrative instruction ST/AI/234/Rev.1 of 22 March 1989 is to clarify the authority of the Executive Director of the United Nations Environment Programme (UNEP) in respect of the termination of permanent appointments of staff whose appointments are limited to service with UNEP and whose posts are financed from the Environment Fund.

2. Annex V of the instruction is hereby amended as follows:

Page 20, regulation 9.1, fifth line: after services add c/

Page 20, under Notes: add the following

c/ The Executive Director of the United Nations Environment Programme has authority to terminate permanent appointments, including for unsatisfactory services, of staff whose appointments are limited to service with the United Nations Environment Programme and whose posts are financed from the Environment Fund.

* Personnel Manual index No. 113.

Attachment 4

United Nations

ST/AI/1999/1

Secretariat

1 February 1999

Administrative instruction

Delegation of authority in the administration of the Staff Rules*

The Under-Secretary-General for Management, pursuant to section 4.2 of Secretary-General's bulletin ST/SGB/1997/1 and for the purpose of delegating further the authority to administer the Staff Rules, promulgates the following:

Section 1

Delegation of authority

Annexes II, IV and V to administrative instruction ST/AI/234/Rev.1, entitled "Administration of the Staff Regulations and Staff Rules", lists matters under the Staff Rules that are within the authority of the Assistant Secretary-General for Human Resources Management and matters that are within the authority of heads of departments or offices and heads of offices away from Headquarters. Pending a general review of those provisions, the present instruction is a further delegation of this authority.

Section 2

Delegation of authority to extend fixed-term appointments

With respect to the administration of staff rule 104.12 (b), heads of departments or offices have the authority to extend fixed-term appointments for up to two years with respect to staff members in the General Service and related categories and in the Professional and higher categories up to the D–1 level and for staff recruited after a competitive examination or after review by the appointment and promotion bodies, subject to satisfactory performance, medical clearance and the availability of funds.

Section 3

Delegation of authority to grant special leave

With respect to the administration of staff rule 105.2 (a), heads of departments or offices have the authority:

(a) To grant special leave without pay for periods of up to two years;

(b) To grant special leave with full pay in the case of adoption of a child.

Section 4

Delegation of authority to approve travel on home leave

With respect to the administration of staff rule 105.3, heads of departments or offices have the authority:

(a) To approve travel to a country other than the recognized country of home leave during a particular home leave year, under staff rule 105.3 (d) (iii) *b*;

(b) To approve separate travel of dependants not in the same home leave year as the staff member, under staff rule 105.3 (j).

Section 5

Delegation of authority to approve repatriation grants

With respect to the administration of staff rule 109.5, heads of departments or offices have the authority to approve

* *Personnel Manual* index No. 114.

repatriation grant, in accordance with the conditions set out in staff rule 109.5.

Section 6

Delegation of authority to approve special post allowance

With respect to the administration of staff rule 103.11, heads of departments or offices have the authority to approve payment of a special post allowance for all categories of staff up to the D–2 level.

Section 7

Final provisions

7.1 The present instruction shall enter into force on 1 February 1999, except that section 5 will enter into force on the day a new administrative instruction, consolidating instructions ST/AI/269 and ST/AI/300 and personnel directive PD/1/80, enters into force.

7.2 The corresponding provisions in annexes II, IV and V to administration instruction ST/AI/234/Rev.1 are hereby abolished.

(Signed) Joseph E. Connor
Under-Secretary-General for Management

Attachment 5

PERSONNEL DIRECTIVE

To: All executive, administrative and personnel officers

From: The Assistant Secretary-General for Personnel Services

Subject: Administration of the 300 series of Staff Rules

1. The 300 series of Staff Rules, consisting of rules 301.1 to 312.6 applicable to staff members specifically engaged for conference and other short-term service, was recently issued in a revised edition effective 1 May 1978 (ST/SGB/Staff Rules/3/Rev.3). The purpose of this directive is to draw attention to the main changes made to that series of rules and to define the delegation of authority and the division of responsibilities for the issuance of personnel action (P.5) forms in the administration of staff appointed at Headquarters under those rules.

Revision of the 300 series of Staff Rules

2. For the purposes stated in the Secretary-General's bulletin covering the revised edition, amendments of a substantive nature have been made to the following rules:

Rule 301.1	Applicability
Rule 301.3	Official holidays
Rule 303.1	Salaries
Rule 304.5	Local and non-local recruitment
Rule 305.1	Annual leave
Rule 307.3	Loss of entitlement for return transportation
Rule 307.6	Terminal expenses
Rule 307.7	Excess baggage and unaccompanied shipments
Appendix A	Salary rates
Appendix B	Overtime payment and compensatory time off

In addition, new rules 303.6 on Salary advance, 306.4 on Compensation for loss of, or damage to, personal effects attributable to service, and 307.11 on Travel subsistence allowance have been introduced. All officers concerned

are advised to familiarize themselves with the revised texts of those rules. Particular mention is made, in paragraphs 3-5 below, of the new provisions of rules 301.1 and 307.11, together with an explanation of the consequential changes in administrative procedures.

3. Staff rule 301.1 has been amended to restrict all appointments under the 300 series of Rules to periods of not more than 6 months, so as to ensure that such appointments are strictly used for the purposes for which they are intended, namely temporary employment for conference or other short-term service. In application of this strict policy, short-term appointments normally are expected not to exceed 3 months and,on any extension thereafter, consideration should be given to the conversion to an appointment under the 100 series of Staff Rules, if continuous services are likely to be required beyond a total period of 6 months. In any event, the conversion will be mandatory for any period of employment extending beyond the 6-month limit for 300 series appointments.

4. A new paragraph (b) has been added to rule 301.1 in order to provide for the authority to establish special conditions of employment for short-term interpreters, translators and related categories of language staff. That provision is intended to cover the cases where the agreement between CCAQ and AIIC (Association Internationale des Interprètes de Conférence) or AITC (Association Internationale des Traducteurs de Conférence) either set forth in greater detail the entitlements of interpreters, translators, revisers, editors and précis-writers or provided for different entitlements than those established in the Staff Rules. By virtue of the new paragraph (b), the provisions of the agreements will be made applicable to those short-term language staff through the insertion of a special clause in the letters of appointment as indicated in paragraph 5 below. In such cases, the provisions of the agreements shall prevail over the corresponding provisions of the staff rules.

5. Accordingly, in application of the provisions of the revised edition, the following clause should be included in the section of "Special Conditions" in the letters of appointment of all short-term interpreters, translators, revisers, editors and précis-writers:

"In accordance with staff rule 301.1(b), the special conditions of employment for short-term conference interpreters /or, for short-term translators, revisers, editors or précis-writers, as the case may be/ contained in CCAQ/SEC/..... of ..... shall be applicable to the present appointment. In any case in which such special conditions of employment differ from those otherwise established in the 300 series of Staff Rules, the former will prevail." 1/

A similar clause should also be entered in the letters of appointment of short-term verbatim reporters, since it has been the practice of the United Nations to extend to them the application of the salary scales and other conditions of employment contained in the agreement between CCAQ and AITC.

6. New rule 307.11 governs the payment of travel subsistence allowance to short-term staff. Since staff members on assignment to another duty station are paid travel subsistence allowance at the place of assignment, paragraph (b) of the rule stipulates that, if the assignment extends over a period of 2 weeks or longer, non-locally recruited short-term staff whose base salaries include an element of subsistence allowance at the first duty station shall have their base salaries converted from non-local to local rates. The issuance of a P.5 action is required whenever such a temporary change of salary rates takes place.

Delegation of authority and processing of personnel actions

7. The provisions of PD/1/77 concerning delegation of authority under the 100 series of Staff Rules shall apply *mutatis mutandis* to the administration of short-term staff appointed at Headquarters under the 300 series of Staff Rules. A comparable list showing the division of responsibilities for the processing of the various types of personnel action (P.5) forms with respect to those staff is given in the appendix to this directive.

1/ The agreements currently in effect are contained in CCAQ/SEC/326(PER)/Rev.1 of 8 May 1977 for conference interpreters, and CCAQ/SEC/407(PER) of 8 May 1977 for short-term translators, revisers, editors and précis-writers. The Executive Office of the Department of Conference Services and the Personnel Unit servicing DCS will keep copies of the latest AIIC and AITC agreements available for consultation by interested staff members.

TYPES OF PERSONNEL ACTION
FOR SHORT-TERM STAFF APPOINTED UNDER
300 SERIES OF STAFF RULES

Appointment	Authority	P.5	Other actions including letter of appointment where applicable
Initial appointment	OPS	EO/OPS	OPS 1/
Extension of short-term appointment			
- up to a maximum period of six months	EO	EO	EO
Salary			
Determination of applicability of local or non-local rate	OPS	EO	
Adjustment of salary rate on extended assignment away from Headquarters under rule 307.11	EO	EO	
Allowances and other benefits			
Entitlement to/change in daily or monthly subsistence allowance	OPS	EO	
Entitlement to/change in salary differential for Conference Typists	EO	EO	
Administrative status			
Change of allotment account number, post number, cheque distribution code or office code	EO	EO	
Certificate of employment (P.50)	EO	EO	

1/ Other actions include medical clearance, U.S. clearance, reference checks, salary advance and Grounds Pass.

Leave			
Grant of special leaves with full or partial pay	OPS	EO	
Grant of special leave without pay up to 10 working days	EO	EO	
Discipline			
Suspension pending investigation/ return to duty	SG	OPS	
Disciplinary measures	SG	OPS	
Separations from service			P.35
Expiry of appointment	---		EO/OPS
Resignation	EO 1/		EO/OPS
Termination of appointment	SG		EO/OPS
Abandonment of post	OPS		EO/OPS
Death	---		EO/OPS
Other (by the issuing Office)			
Addendum			
Amendment			
Cancellation			
Correction			

1/ Copy of letter of acceptance to OPS.

Attachment 6

UNITED NATIONS

ST

Secretariat

ST/AI/388
14 September 1993

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: PERSONNEL ARRANGEMENTS FOR THE UNITED NATIONS INTERNATIONAL DRUG CONTROL PROGRAMME (UNDCP)

1. Consistent with the desire of the General Assembly, expressed in its resolution 45/179 of 21 December 1990, for a unified central drug control entity with exclusive responsibility for coordinating and providing effective leadership for all United Nations drug control activities, while at the same time ensuring complementarity and non-duplication of activities within the United Nations system, the Secretary-General has approved the organizational structure of the United Nations International Drug Control Programme (UNDCP), as set out in ST/SGB/Organization, Section: UNDCP of 27 July 1993. The purpose of the present instruction is to outline the administrative arrangements for the Programme and the authority of the Executive Director in UNDCP personnel matters.

2. The Staff Regulations adopted by the General Assembly and the Staff Rules and administrative instructions promulgated by the Secretary-General pursuant thereto will apply to staff serving with the Programme in the same manner as they do to the rest of the Secretariat.

3. The staff currently serving with UNDCP who were appointed by the Secretary-General on the recommendation of the United Nations appointment and promotion machinery will continue to be governed by the terms of appointment and conditions of service specified in their letters of appointment. Their acquired rights and eligibility for reassignment within the Secretariat will not be affected. Appointments and contracts made after the date of the present instruction to posts financed by the Fund of UNDCP, under the provisions set out below, shall be limited to service with the Programme.

4. Subject to the retention by the Secretary-General of his authority to promulgate and interpret the Staff Regulations and Rules, and to take final decisions in appeals and disciplinary cases under the Staff Regulations and in compensation claims under Appendix D of the Staff Rules, full authority is delegated to the Executive Director by the Secretary-General as specified below,

thus giving the Executive Director the responsibility for administering, in the name of the Secretary-General, the Staff Regulations and Staff Rules in respect of staff paid from the Fund of UNDCP.

5. To this end the Secretary-General, in consultation with the Executive Director, will establish a UNDCP Appointment and Promotion Board whose composition, functions and procedures will be generally comparable to those of the Headquarters Appointment and Promotion Board, to advise the Executive Director with respect to staff paid from the Fund at the P-5 and D-1 levels. The Chief of Personnel, United Nations Office at Vienna (UNOV), will sit ex officio at the Board's deliberations.

6. The UNOV Appointment and Promotion Committee will advise the Executive Director with respect to appointments and promotions to Professional posts financed by the Fund at levels P-4 and below.

7. All appointments to posts financed from the Fund shall be reported regularly to the Secretary-General through the Director of Personnel, Office of Human Resources Management.

8. The Executive Director will appoint staff in the General Service and related categories to posts financed from the Fund on the recommendation of the UNOV Appointment and Promotion Panel.

9. Staff members whose posts are financed by the Fund will be recruited specifically for service with the Programme rather than with the Secretariat as a whole. Their letters of appointment will indicate that their services are limited to UNDCP. Such staff will be regarded as external candidates in filling vacancies in UNDCP posts financed from the regular budget. Movements of such staff between the Programme and other parts of the Secretariat will be subject to the same conditions and arrangements as are applicable to staff serving with voluntarily funded programmes of the United Nations.

10. The principle of recruitment on as wide a geographical basis as possible will govern the Professional staff paid from the Fund in accordance with the guidelines for voluntarily funded programmes. Such staff will be separately reported to the General Assembly in the Secretary-General's annual report on the composition of the Secretariat.

11. Thus, in accordance with the relevant staff rules, the Executive Director will have authority to appoint UNDCP staff whose appointments are limited to service with the Programme and whose posts are financed from the Fund up to the D-1 level to promote such staff up to that level and to terminate appointments of such staff at or below the D-1 level, except for terminations under article X of the Staff Regulations, but including terminations for unsatisfactory service, on the advice of the UNDCP Appointment and Promotion Board for staff at the P-5 and D-1 levels and the UNOV Appointment and Promotion Committee and Panel for staff at the level P-4 and below. Annex V to ST/AI/234/Rev.1 will be amended accordingly.

12. All appointments and promotions to posts above the D-1 level, or termination of appointments above the D-1 level, require prior approval by the Secretary-General. The provisions of ST/SGB/213/Rev.1, concerning the designation of staff members performing significant functions in financial

management, personnel management and General Services administration, shall be applicable to UNDCP.

13. The Executive Director will have authority to appoint, extend and reclassify technical cooperation project personnel up to and including the L-6 level. Appointments and extensions at and reclassifications to the L-7 level will require the prior concurrence of the Secretary-General. 200 series personnel will be recruited and administered in accordance with the policies and practices developed at United Nations Headquarters for such personnel. The Executive Director will also have authority to terminate the appointments of technical cooperation project personnel up to the L-6 level, except for terminations under article X of the Staff Regulations, in accordance with the provisions of staff regulation 9.1.

14. Staff of the Programme will be recruited and administered by the Personnel Service of UNOV on behalf of the Executive Director.

15. The administrative bodies established by the Secretary-General to advise him on staff matters, such as the Joint Appeals Board, the Joint Disciplinary Committee, the Claims Board and the Advisory Board on Compensation Claims, will have jurisdiction as regards all staff serving with the Programme, including staff paid from the Fund.

Attachment 7

UNITED NATIONS

ST

Secretariat

ST/AI/401
18 January 1995

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: PERSONNEL ARRANGEMENTS FOR THE OFFICE OF INTERNAL OVERSIGHT SERVICES

1. Consistent with the desire of the General Assembly, expressed in its resolution 48/218 B of 29 July 1994, for the Office of Internal Oversight Services (OIOS) to exercise operational independence under the authority of the Secretary-General in the conduct of its duties, the Secretary-General defined in bulletin ST/SGB/273 the scope of the authority of the Under-Secretary-General for Internal Oversight Services in personnel matters, as follows:

(a) In keeping with the need for operational independence, the Under-Secretary-General shall, through appropriate arrangements of delegation of authority, exercise the degree of latitude and control over the personnel and resources of the Office, consistent with the Staff Regulations and Rules of the United Nations and the Financial Regulations and Rules of the United Nations, that is necessary to achieve the objectives of the Office;

(b) With respect to the staff of the Office, the Under-Secretary-General shall have powers of appointment, promotion and termination similar to those delegated by the Secretary-General to the heads of programmes, funds or subsidiary organs enjoying special status in these matters. Contracts of staff members appointed by the Under-Secretary-General shall be limited to service with the Office. Staff members holding regular United Nations appointments who are selected to serve with the Office shall retain their current status and their acquired rights under the Staff Regulations and Rules of the United Nations.

2. The purpose of the present instruction is to outline the administrative arrangements and the authority of the Under-Secretary-General for Internal Oversight Services in personnel matters.

3. The Staff Regulations adopted by the General Assembly and the Staff Rules and administrative instructions promulgated by the Secretary-General pursuant thereto will apply to staff members serving with the Office in the same manner as they do to the rest of the Secretariat.

4. Staff members presently serving with the Office who were appointed by the Secretary-General on the recommendation of the United Nations appointment and promotion machinery on permanent or fixed-term appointments will continue to be governed by the terms of appointment and conditions of service specified in their letters of appointment. Their acquired rights and eligibility for reassignment within the Secretariat will not be affected.

5. Subject to the retention by the Secretary-General of his authority to promulgate and interpret the Staff Regulations and Rules and to take final decisions in appeals and disciplinary cases under the Staff Regulations and in compensation claims under Appendix D of the Staff Rules, full authority is delegated to the Under-Secretary-General for Internal Oversight Services by the Secretary-General as specified below, thus giving the Under-Secretary-General the responsibility for administering, in the name of the Secretary-General, the Staff Regulations and Staff Rules in respect of staff members serving with the Office.

6. To this end, the Secretary-General, in consultation with the Under-Secretary-General for Internal Oversight Services, will establish an OIOS Appointment and Promotion Panel to advise the Under-Secretary-General on the appointment, promotion and termination of all staff members up to and including the D-2 level. The Panel will consist of three members and three alternates: a chairperson to be nominated by the Under-Secretary-General for Internal Oversight Services, a member nominated by the staff of the Office and a senior staff member from the Department of Administration and Management. The Office of Human Resources Management will be represented ex officio. The functions and procedures of the Panel will be generally comparable to those of other United Nations appointment and promotion bodies. Secretariat policies, including the special measures to improve the status of women in the Secretariat, will apply.

7. Staff members for the Office will be recruited specifically for service with the Office rather than with the Secretariat as a whole. Their letters of appointment will indicate that their services are limited to the Office. Such staff members will be regarded as external candidates in filling vacancies in other departments. Movements of such staff members between the Office and other parts of the Secretariat will be subject to the same conditions and arrangements as are applicable to staff members serving with voluntarily funded programmes of the United Nations.

8. The principle of recruitment on as wide a geographical basis as possible will govern the appointment of Professional staff members. Such staff members will be reported separately to the General Assembly in the Secretary-General's annual report on the composition of the Secretariat.

9. Thus, in accordance with the relevant staff rules, the Under-Secretary-General for Internal Oversight Services will have authority to appoint all staff members whose appointments are limited to service with the Office up to the

D-2 level, to promote staff members up to the D-1 level, and to terminate appointments of such staff members, except for termination under article X of the Staff Regulations, but including terminations for unsatisfactory services, with the advice of the OIOS Appointment and Promotion Panel.

10. Staff members of the Office will be recruited and administered by the Office of Human Resources Management on behalf of the Under-Secretary-General for Internal Oversight Services. The provisions of bulletin ST/SGB/213/Rev.1, concerning designation of staff members performing significant functions in financial management, personnel management and general services administration, shall be applicable to the Office.

11. The administrative bodies established by the Secretary-General to advise him on staff matters, such as the Joint Appeals Board, the Joint Disciplinary Committee, the Claims Board and the Advisory Board on Compensation Claims, will have jurisdiction as regards all staff members serving with the Office.

Attachment 8

Annex

Allocation of responsibilities between the Department of Administration and Management and the Department for Peace-Keeping Operations concerning human resource management matters

STAFFING REQUIREMENTS

DPKO shall continue to be responsible for determining the staffing requirements and for proposing organizational structures for peace-keeping operations. Similarly, DPKO shall be responsible for proposing staffing tables for new field missions. It shall be the responsibility of OPPBA, in turn, to review and approve the staffing tables, as well as to determine the corresponding costing for submission in budget proposals to ACABQ and the General Assembly.

In order to assist in the definition of staffing requirements, DPKO shall develop standard or generic job descriptions for posts with similar functions and responsibilities, by occupational category. Such generic job descriptions shall be used in the establishment of staffing tables and shall be reviewed by OHRM for conformity with United Nations common system standards.

RECRUITMENT, APPOINTMENT AND ASSIGNMENT OF PERSONNEL

DPKO shall be delegated the authority to select, recruit, determine the level and step of, and to appoint personnel for mission assignment. It shall also have the authority to extend the appointments of personnel whose service is limited to mission assignment. This authority to extend appointments shall apply to staff for whom there is no parent office responsibility. Extensions of staff at the D-2 level and above shall continue to be subject to the approval of the Secretary-General.

In order to assist in the reintegration of staff who have served on mission assignment(s), DPKO shall inform OHRM of the expected date of release of staff from mission assignments, whenever possible, two months in advance. Likewise, to facilitate continued coverage of posts vacated by staff on mission assignment, DPKO shall inform OHRM of cases of extension of mission assignment, whenever possible, two months in advance.

When a United Nations staff member is selected for mission assignment, or in the case of an extension of mission assignment, DPKO shall be responsible for securing from the parent department consent to release the staff member, as well as the parent department's commitment to reabsorb the staff member upon completion of mission assignment. DPKO shall inform the parent department of the expected date of release of staff from mission assignment, whenever possible, two months in advance.

OHRM shall transfer to DPKO an active and functional module of the recruitment/placement roster which has been designed to meet the specific staffing needs of peace-keeping operations. DPKO shall undertake the responsibility for roster searches and review, as well as for maintaining an up to date roster.

DPKO shall have the authority to reassign personnel from one peace-keeping mission to another, subject to three provisos: the staff member has a satisfactory performance evaluation; the staff member concurs with the reassignment; and the parent department agrees if an extension of the period of assignment is involved.

DPKO shall retain the responsibility for all arrangements regarding the authorization, scheduling and administration of established entitlements regarding the travel of personnel to and from mission assignments.

With regard to the staffing of the posts of Chief Administrative Officer and Chief of Finance, Personnel or General Services in a peace-keeping operation, DPKO shall be responsible for the appointment, assignment and reassignment of such personnel, subject to the approval of the Under-Secretary-General for Administration and Management in the case of Chief Administrative Officers and the approval of Designated Officials of the Department of Administration and Management in the case of the Chiefs of Personnel, Finance and Procurement and Security.

ADMINISTRATION OF SALARIES AND ALLOWANCES

As has been the situation since 1 November 1994, DPKO discharges the responsibility for administration of the totality of established entitlements for all personnel serving in peace-keeping operations. This responsibility includes the administration of all entitlements of United Nations staff members for the duration of their assignment(s) to a field mission(s). The one exception to this delegation is that the Secretary-General shall continue to approve special post allowances for staff at the D-2 level.

DPKO shall continue to administer the totality of the established entitlements for all personnel serving in the Field Service category (both Field Service Officers and Field Service local personnel).

OHRM shall retain the responsibility for reviewing requests for exceptions to the Staff Regulations and the Staff Rules of the United Nations. The Office will continue to provide authoritative interpretation of those Regulations and Rules, upon request, as well as of administrative issuances which bear upon the conditions of service of personnel in peace-keeping operations.

OHRM shall maintain its authority to establish, review and revise the emoluments, allowances and other entitlements applicable to personnel serving in peace-keeping operations, with due regard for the operational exigencies of field missions as defined by DPKO. To this end, OHRM will continue to participate in technical survey missions and any other field reviews which are necessary to accurately assess conditions of service.

MEDICAL ADMINISTRATION

OHRM shall continue to provide the services of medical examination and medical clearance for personnel selected for mission assignment. In this regard, the Office shall perform pre-mission medical examinations for personnel who are located at headquarters, as well as post-mission examinations upon return if such examinations are not feasible in field locations prior to departure from the mission. The Office shall also continue to review and analyze incoming medical examinations for personnel assigned to missions from non-headquarters duty stations, including military observers and civilian police.

OHRM shall retain the responsibility for advising as to the need for immunizations for United Nations staff, military observers, civilian police, monitors and contingents selected for mission assignment. It shall also provide such immunizations for personnel leaving from headquarters. The Office will continue to discharge the responsibility for decisions on the medical evacuation or repatriation of personnel assigned to peace-keeping operations: this responsibility shall cover United Nations staff on mission assignment, contingent military personnel, military observers, civilian police, and monitors. OHRM shall verify medical expenses in all cases where the Organization incurs expenditures.

OHRM shall be responsible for medical advice in respect of service-incurred injury, illness or death of United Nations staff assigned to missions, military observers and civilian police. The Office shall retain its responsibilities regarding disability benefits for mission personnel, under the Regulations of the United Nations Joint Staff Pension Fund, as applicable.

LITIGATION AND DISCIPLINARY MATTERS

OHRM shall retain the responsibilities of Respondent on behalf of the Secretary-General before the Joint Appeals Board in cases arising from staff serving on mission assignment. The Office shall also continue to pursue disciplinary matters referred to it by DPKO as a consequence of preliminary investigation in the field: it shall prepare the necessary submissions in connection with the Joint Disciplinary Committee cases and other disciplinary actions.

MONITORING AND MANAGEMENT AUDIT

OHRM shall be responsible for monitoring compliance with the United Nations Staff Regulations and Staff Rules, as well as other delegated human resources policies, as set out in the relevant administrative issuances. Senior managers of the Office shall conduct sample checks of procedures and human resources management audits: monitoring, on a continuous basis, will utilize such systems as IMIS. DPKO shall be responsible for providing documentation and records requisite for monitoring, checking and management audit purposes. DPKO shall also ensure that the official status files of staff on mission assignment are kept up to date, by forwarding copies of all relevant documentation to the Personnel Data Unit/OHRM.

Attachment 9

Annex I

AGREED ADDITIONAL DELEGATION OF AUTHORITY TO UNOG

Reference in current Staff Regulations and Rules

Regulation	1.2	Decision to assign a staff member to another department within the same duty station
Staff rule	101.5	Approval of interagency loan, secondment or transfer of staff in the Professional category within the same duty station (direct application of Inter-organization Agreement Concerning Transfer, Secondment or Loan of Staff)
	103.6 (b)	Organization of language proficiency tests
	103.11 (b)	Granting of special post allowance to staff in the Professional category up to the Principal Officer (D-1) level*
	103.11 (c)	Granting of special post allowance with immediate effect to staff in the Professional category up to the First Officer (P-4) level
	103.14 (b)	Granting of special advance in exceptional and compelling circumstances (subject to delegation of authority from United Nations Controller)
	103.21 (f)	Determination for calculating mobility and hardship allowance
	103.22 (e)	Payment of the non-removal element of the mobility and hardship allowance
	103.22 (g)	Mobility and hardship allowance payable to Field Service and Internationally-recruited General Service staff

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* Including all General Service staff and related categories, as well as SPA from G to P in keeping with existing guidelines (attached). Newly appointed staff become eligible only after they complete one year. Extensions of SPA beyond one year should be reconsidered and approved by the UNOG SPA Committee.

Regulation	4.2	Decision to transfer a staff member to another department within UNOG
Staff rule	104.3	Decision whether to give new appointment or reinstate within 12 months of separation from service or on disability benefit in respect of staff in the Professional category up to the First Officer (P-4) level
	104.8 (b)	Decision as to which nationality a staff member is most closely associated in respect of staff in the Professional category and above (subject to consultation with OHRM on over-represented nationalities)
	104.10 (a)	Decision to appoint candidate having any of the family relationship indicated in paragraph (a) of the rule
	104.12 (b)	Appointment for one year or more of staff in the Professional category up to the First Officer (P-4) level (currently, General Service staff)
	104.14	Promotion of staff members in the Professional category up to the First Officer (P-4) level
Regulation	4.5	Appointment for a total period of less than one year of staff members in the Professional category up to the First Officer (P-4) level
		Appointment of staff members in the Professional category up to the First Officer (P-4) level or more on recommendation of the Appointment and Promotion Board
Staff rule	105.2	Grant of special leave without pay for up to two years (currently, up to one year)
	105.2 (a) (iii)	Grant of special leave with full pay for adoption of child
	105.3 (j)	Approval of separate travel of dependents not in the same home leave year

107.20 (d)	Establishment of lump-sum payment of assignment grant
107.20 (i)	Authorization of assignment grant when no travel paid
107.27 (a)	Decision whether to pay removal costs or the non-removal element of the mobility and hardship allowance
107.27 (d)(iii)	Authorization of storage costs not directly incidental to normal transportation
107.28 (c)	Decision to authorize unaccompanied shipment/removal expenses on separation beyond six months/one year
111.2 (a)	Decision to seek assistance of chairperson or designated member of Joint Appeals Board in conciliation proceedings

PART III Other delegation of authority

Obtaining government concurrence in respect of staff members serving on secondment

Attachment 10

Annex I

AGREED ADDITIONAL DELEGATION OF AUTHORITY TO ECLAC

Reference in current Staff Regulations and Rules

Staff rule	101.5	Approval of inter-agency loan, secondment or transfer of staff in the Professional category within the same duty station for a period up to two years with direct application of Inter-organization Agreement Concerning Transfer, Secondment or Loan of Staff.
	103.11 (b)	Granting of special post allowance to staff in the Professional category up to the First Officer (P-4) level.
	103.11 (c)	Granting of special post allowance with immediate effect to staff in the Professional category up to the First Officer (P-4) level.
	103.14 (b)	Granting of special salary advance in exceptional and compelling circumstances.
	103.22	Administration of staff rule 103.22, Mobility and Hardship allowance for all staff at ECLAC including payment of non-removal element of the mobility and hardship allowance.
Regulation	4.5	Decision to Appoint staff members at the Professional level up to the D-1 level for periods of less than one year.
Staff rule	104.3	Decision whether to give new appointment or reinstate within 12 months of separation from service or on disability benefit in respect of staff in the Professional category up to the First Officer (P-4) level.
	104.10 (a)	Decision to appoint candidate having any of the family relationship indicated in paragraph (a) of the staff rule.

	104.12 (b)	Decision to extend appointments of staff in the Professional category and above and in the General Service category for one year or more.
	104.14	Appointment of staff members in the Professional category up to the First Officer (P-4) level on unanimous recommendation of the ECLAC Appointment and Promotion Committee endorsing the recommendation of the Executive Secretary.
	104.14	Promotion and placement of staff members in the Professional category up to the First Officer (P-4) level on unanimous recommendation of the ECLAC Appointment and Promotion Committee endorsing the recommendation of the Executive Secretary.
Staff rule	105.2	Grant of special leave without pay for up to two years.
	105.2 (a) (iii)	Grant of special leave with full pay for adoption of child.
	105.3 (d iii b)	Approval of travel in a particular home leave year to a country other than the country of nationality.
	105.3 (j)	Approval of separate travel of dependents not in the same home leave year.
	107.4 (b)	Decision to authorize travel beyond six-months after the date of separation.
	107.27 (a)	Decision whether to pay removal costs or the non-removal element of the mobility and hardship allowance.
	107.27 (d)(iii)	Authorization of storage costs not directly incidental to normal transportation.
	107.28 (c)	Decision to authorize unaccompanied shipment/removal expenses on separation beyond six months/one year.
Regulation 9.1(c) and 9.3(a)		Authority to offer and approve agreed termination packages for General Service staff, if such termination is, in the opinion of the Executive Secretary, in the interest of the Organization.

Other delegation of authority being granted to ECLAC

Obtaining government concurrence in respect of staff members serving on secondment.

Control over the full utilisation of training funds allotted to ECLAC, except for globally mandated training, which remains under the control of OHRM.

Classification of GS posts from GS-1 through GS-6 for all ECLAC duty stations.

Determination of grade and step for all appointments within the Professional Category and Principal Officer (D-1) level.

Preparation of draft vacancy announcements for Professional posts at all levels.

Elimination of Departmental Panels at ECLAC (The Approval to eliminate the Departmental Panel at ECLAC is subject to agreement by the staff representation in that Commission, an amendment to ST/AI/413 and the approval by the Secretary-General of the report of SMCC-XXI).